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NASA
Procedural
Requirements

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COMPLIANCE IS MANDATORY

NASA Performance Management System for the Senior Executive Service

Responsible Office: Office of Human Capital Management

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Preface

P.1 Purpose

a. This directive establishes the procedures and responsibilities for the NASA Performance Management System for the Senior Executive Service (SES) (hereafter referred to as the Performance Management System). It provides Agency direction which should be used in conjunction with referenced statutory and regulatory requirements. This system encourages excellence in performance; facilitates the accurate evaluation of performance based on results; provides for the systematic appraisal of performance; and provides a basis for pay, awards, development, retention, removal, and other personnel decisions. The system enhances the achievement of Agency goals by expecting and encouraging managerial excellence in individual and organizational performance, achieving results through effective executive leadership, and holding executives accountable for results.

b. The Performance Management System focuses on enhanced communication and clarity of goals and provides for:

(1) Participative performance planning.

(2) Setting and communicating individual and organizational goals and expectations that are linked to strategic planning initiatives and the results-oriented goals.

(3) Establishing new framework aimed at more crosscutting and integrated approach to focusing results and improving Government performance of the Government Performance and Results Modernization Act of 2010.

(4) Continual performance monitoring to assess achievements.

(5) Annual appraisals of performance using measures that balance individual and organizational results with customer, employee, and stakeholder perspectives.

P.2 Applicability

a. This directive applies to all career, noncareer, limited term, and limited emergency senior executives covered by 5 U.S.C. § 4311-4315, employed by NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers.

b. Any reference to Center Director(s) includes the Executive Director for Headquarters Operations and the Executive Director of the NASA Shared Services Center.

c. In this directive, all document citations are assumed to be the latest version, unless otherwise noted.

d. In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms "may" or "can" denote discretionary privilege or permission, "should" denotes a good practice and is recommended, but not required, "will" denotes expected outcome, and "are/is" denotes descriptive material.

e. In consonance with the Inspector General Act of 1978, as amended (5 U.S.C. App. § 2), nothing herein shall be construed as limiting the Inspector General's authority regarding members of the SES or SES positions within those organizations.

P.3 Authority

a. Inspector General Act of 1978, as amended, 5 U.S.C. App. § 2.

b. General Appointment Provisions, 5 U.S.C. § 3392.

c. Removal from the Senior Executive Service, 5 U.S.C. § 3592.

d. Performance Appraisal in the Senior Executive Service, 5 U.S.C. § 4311-4315.

e. Managing Senior Executive Performance, and Performance Appraisal Certification for Pay Purposes, 5 CFR, Part 430, Subparts C and D.

f. Awards, 5 CFR, Part 451.

P.4 Applicable Documents and Forms

a. Government Performance and Results Modernization Act of 2010, Pub. L. 111-352, 124 Stat. 3866 (2011).

b. Removal from the Senior Executive Service; Guaranteed Placement in Other Personnel Systems, 5 CFR, Part 359.

- c. NPD 1382.17, NASA Privacy Policy.
- d. NPR 3100.1, Management of the Senior Executive Service (SES).
- e. NPR 3771.1, NASA Grievance System.
- f. NC 1000.9, NASA Performance Review Board.
- g. Office of Personnel Management's (OPM) Guide to Recordkeeping/GOVT-2 requirements.
- h. NASA's Performance Management Manual for Senior Executives.

P.5 Measurement/Verification

a. The Performance Review Board (PRB) shall evaluate the effectiveness of the Performance Management System to ensure that:

- (1) The results of the appraisal process take into account the Agency's assessment of its performance against program performance measures.
- (2) The appraisal process makes meaningful distinctions based on relative performance.
- (3) Salary rate adjustments, cash awards, and levels of pay based on the results of the appraisal process are commensurate with the level of individual performance and/or contribution to the Agency's performance.
- (4) Findings of the evaluation are reported and recommendations made for process improvements to the Executive Position Managers (EPMs) and policy changes to the Office of Human Capital Management (OHCM).

P.6 Cancellation

NPR 3435.1B, NASA Performance Management System for the Senior Executive Service, dated March 05, 2008.

Chapter 1: Responsibilities

1.1 Administrator

1.1.1 The Administrator, or designee, shall:

a. Approve the following for each senior executive:

- (1) Annual Summary Rating.
- (2) Performance bonus.
- (3) Salary rate adjustment as follows:
 - (a) For a percentage of salary increase greater than that approved for a specific Annual Summary Rating.
 - (b) To a Tier position and any salary adjustment to a rate greater than Executive Level III.
- (4) Presidential Rank Award nomination.
- (5) Recommendation for a superior accomplishment award over \$10,000.

b. Appoint the chairpersons and members of the PRB and Senior Executive Committee (SEC).

1.2 Deputy Administrator

1.2.1 The Deputy Administrator, or designee, shall serve as the Chair of the SEC and make final recommendations to the Administrator regarding all of the matters listed in 1.1.1a above.

1.3 Associate Administrator

1.3.1 The Associate Administrator, or designee, shall be responsible for:

- a. Assessment of the Agency's overall performance with respect to each of its particular missions, components, programs, policy areas, and support functions.
- b. Approval of the salary rate adjustment criteria based on Annual Summary Ratings, taking into account the assessment of the Agency's performance.
- c. Oversight of the Performance Management System.

1.4 Assistant Administrator, Human Capital Management (AA, HCM)

1.4.1 The AA, HCM, or designee, shall assist the Administrator in the overall management of the SES, which includes:

- a. Overseeing and coordinating SES systems dealing with performance management and compensation.
- b. Providing an Executive Secretary and direct staff support to the PRB and the SEC.
- c. Setting direction and determining the requirements for the maintenance, access, transfer, as well as destruction of Employee Performance Files in accordance with this NPR and applicable regulations, OPM Government wide system of records, OPM/GOVT-2 requirements, and NPD 1382.17.

1.5 Executive Position Manager (EPM)

1.5.1 Each EPM shall:

a. Approve the following for each subordinate senior executive:

- (1) Salary rate adjustment up to the Executive Level III pay cap consistent with the provisions of NPR 3100.1 and with the authority otherwise delegated by the Administrator, or designee, or the PRB.
- (2) Superior accomplishment award up to \$10,000, except that the EPM shall not be both the recommending and approving official.
- (3) Nomination for Agency honor awards.
- (4) Performance-based action.

b. Recommend the following, to the appropriate board or authority, for a subordinate senior executive:

- (1) Performance Summary Rating level (i.e., Initial Summary Rating).
 - (2) Salary rate adjustment:
 - (a) For a salary rate above the Executive Level III pay cap.
 - (b) For a percentage of salary increase greater than that approved for a specific Annual Summary Rating.
 - (3) Advancement to a Tier position.
 - (4) Performance bonus award amount.
 - (5) Nomination for Presidential Rank Award.
 - (6) Superior accomplishment award over \$10,000.
- c. Provide training and disseminate information on the Performance Management System to each subordinate senior executive.

1.6 Performance Review Board (PRB)

1.6.1 The PRB, in accordance with NC 1000.9, shall:

- a. Recommend salary rate adjustment criteria based on Annual Summary Ratings taking into account the assessment of the Agency's performance.
- b. Evaluate the effectiveness of the Performance Management System, report the findings of the evaluation, and make any appropriate recommendations for process improvement to the Performance Management System and appropriate policy changes to the AA, HCM.

1.6.2 For each senior executive, the PRB shall:

- a. Review and evaluate the Initial Summary Rating and Annual Summary Rating, the senior executive's response, and any recommendations by a higher level reviewer.
- b. Conduct any additional review necessary to make written recommendations to the Administrator or designee on Annual Summary Ratings, bonuses, and (as applicable) pay adjustments for each senior executive.

1.7 Rating Official

1.7.1 The Rating Official of a senior executive shall:

- a. In consultation with the senior executive, develop a performance plan that describes the individual and organizational expectations for the appraisal period and sets the requirements against which performance will be evaluated.
- b. Establish a performance plan at the beginning of each appraisal period (normally within 30 days) or within 30 days of the executive's assignment to a position.
- c. Monitor the senior executive's performance, conduct at least one progress review, and provide feedback to the senior executive on progress in accomplishing the performance expectations described in the performance plan during the appraisal period.
- d. Hold the senior executive accountable for the performance management of his/her subordinate employees.
- e. Appraise, in writing, at the end of the appraisal period the senior executive's performance results relative to his/her performance requirements and assign an Initial Summary Rating. The Rating Official will consider all available information that impacts the overall performance, including leadership behaviors, accomplishments, results, and conduct. The appraisal of a senior executive shall be based on both individual and organizational performance, taking into account such factors as:
 - (1) Results achieved in accordance with the Agency's strategic goals, objectives, outcomes, Annual Performance Goals, and/or Agency-specific goals, and/or external commitment within the senior executive's mission-related or functional area of responsibility.
 - (2) Customer satisfaction, to the extent applicable.
 - (3) Employee perspectives.
 - (4) The performance of subordinate employees.
 - (5) Meeting equal employment opportunity, diversity, and safety goals and complying with the merit system principles.

(6) Providing the Initial Summary Rating to the PRB. Along with the Initial Summary Rating, the Rating Official may recommend a salary rate adjustment and/or performance bonus award amount.

Chapter 2: Basic System Provisions

2.1 Appraisal Period

2.1.1 The Agency's performance appraisal period will be from October 1 through September 30.

2.1.2 Executives shall be appraised annually on their performance and an Annual Summary Rating assigned for the relevant period of performance of each year.

- a. The minimum period of performance that will be completed before a performance rating can be given is 90 days.
- b. The Agency may end an appraisal period at any time after the minimum appraisal period is completed, if there is an adequate basis on which to appraise and rate the senior executive(s).
- c. The Agency may not appraise and rate any career executive within 120 days after the beginning of a new Presidential administration.

2.2 Summary Performance Levels

2.2.1 The system includes five summary performance levels:

- a. Level 5 (Distinguished)
- b. Level 4 (Meritorious)
- c. Level 3 (Successful)
- d. Level 2 (Minimally Satisfactory)
- e. Level 1 (Unsatisfactory)

Chapter 3: Performance Appraisal Process

3.1 Planning Performance: Critical Elements

3.1.1 Rating Officials, in consultation with their senior executives, shall establish and communicate performance plans on or before the beginning of the rating period that at a minimum include the required critical elements and performance requirements. The critical elements are:

- a. Leading Change.
- b. Leading People.
- c. Business Acumen.
- d. Building Coalitions.
- e. Results Driven

Note: For additional information and complete definitions and examples, refer to the NASA Performance Management Manual for Senior Executives. This manual can be obtained by contacting OHCM, Executive Resources, or visiting the NASA Human Resources Portal, Supervisors and Leaders, SES Performance Appraisal System (SESPAS) at <https://hr.nasa.gov>.

3.1.2 Rating Officials shall ensure that:

- a. The Results Driven critical element identifies clear, transparent alignment to relevant Agency or organizational goals/objectives and page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance result specified.
- b. Executive performance plans include the Governmentwide SES performance requirements as written. It may also include Agency-specific performance requirements written as competencies or specific results/commitments associated with the critical element.
- c. Performance plans include additional specific performance requirements for each objective listed under the Results Driven critical element.
- d. Performance requirements for the Results Driven critical element include measures, targets, and timelines.
- e. The performance requirements in the executive performance plan describe performance at the successful level, as established in Level 3, Successful performance standard, as defined in the SES Performance Appraisal Agreement.

3.1.3 Rating Officials shall assign each critical element a weight value, with the total weight adding to 100 points as follows:

- a. The minimum weight that can be assigned to the Results Driven critical element is 20 percent.
- b. The minimum weight that can be assigned to the other four critical elements is 5 percent.
- c. No single performance element can be assigned a greater weight than the Results Driven critical element.
- d. Based on the recommendations of the full PRB, the Chair of the PRB will establish weights on an annual basis for each critical element.
- e. Variable weighting will be permitted based on the responsibilities of each executive.

3.1.4 The gaining organization shall set performance goals and requirements for any detail or temporary assignment of 120 days or longer and appraise the performance in writing. The executive's Rating Official will factor this appraisal into the Initial Summary Rating.

3.2 Planning Performance: Performance Standards for Critical Elements

3.2.1 The performance standards are management-approved expressions of the standard threshold(s), requirement(s), or expectation(s) that employees must meet to be appraised at particular levels of performance. The Performance Management System establishes the performance standards for Level 5 (Outstanding) through Level 1 (Unsatisfactory). Each critical element must have a Successful or equivalent standard established. Each critical element and performance requirement is appraised against the established performance standards by applying the performance standards individually to each critical element. Each critical element is further defined under the NASA Performance Management Manual for Senior Executives.

3.3 Monitoring Performance

3.3.1 A Rating Official shall monitor senior executive performance in accomplishing elements and requirements and provide feedback, including advice and assistance on improving performance, when needed, and encouragement and positive reinforcement, as appropriate.

3.3.2 Rating Officials shall provide each senior executive at least one progress review during the appraisal period (normally at midpoint of the appraisal period). If at the midpoint in the appraisal period a senior executive has been on a performance plan for less than 90 days, a midterm review may be conducted or delayed until such time in the appraisal period when a progress review would be more advantageous to the executive. At a minimum, the executive will be informed how well he or she is performing against performance requirements.

3.3.2.1 The primary purposes of a progress review are to:

- a. Discuss the senior executive's level of performance to date; provide feedback on his/her progress in accomplishing the performance expectations described in the performance plan; and provide, when necessary, advice and assistance on how to improve his/her performance.
- b. Identify and, if possible, resolve any issues or problems (e.g., resources) that may be an impediment to the achievement of the individual and/or organizational performance expectations identified in the performance plan.
- c. If necessary, revise the performance plan to reflect any new performance expectations or changes to existing performance expectations.

3.4 Rating Critical Elements

3.4.1 Rating Officials shall:

- a. Assess the progress and accomplishments achieved by each executive against applicable standards.
- b. Appraise and determine a rating (Level 5 to 1) for each of the five critical elements established by using the performance standards level definitions for "Critical Elements" as provided in the NASA Performance Management Manual for Senior Executives and on the SES Performance Agreement, NASA Senior Executive Service Performance Appraisal System (SESPAS), along with any other additional specific requirements/standards that may be established for a particular element.
- c. Establish additional requirements under the Results Driven Critical Element which will be established yearly by the PRB.
 - (1) Appraise and determine a rating (Level 5 to 1) by using the performance standards level definitions for "Critical Elements," along with any other additional specific requirements/standards that may be established for a particular element.
 - (2) The following identifies the two-step process for an assessment of the Results Driven Critical Element:
 - (a) Assign individual ratings for each of the sub-elements (e.g., Distinguished, Meritorious, Successful, Minimally Satisfactory, or Unsatisfactory).
 - (b) Determine the Critical Element Rating for the Results Driven Critical Element by using NASA's established criteria as defined under NASA Performance Management Manual for Senior Executives.

3.5 Deriving the Summary Rating

3.5.1 Once the rating for each critical element is determined, the following point values will be assigned to the element ratings:

- a. Level 5 = 5 points
- b. Level 4 = 4 points
- c. Level 3 = 3 points
- d. Level 2 = 2 points
- e. Level 1 = 0 points

3.5.2 The derivation formula is calculated as follows:

- a. If any critical element is rated Level 1 (Unsatisfactory), the overall summary rating is Unsatisfactory. If no critical element is rated Level 1 (Unsatisfactory), continue to the next step.
- b. For each critical element, multiply the point value of the element rating by the weight assigned to that element.
- c. Add the results from the previous step for each of the five critical elements to come to a total score.

d. Assign the initial summary rating using the ranges below:

- (1) 475-500 = Level 5
- (2) 400-474 = Level 4
- (3) 300-399 = Level 3
- (4) 200-299 = Level 2
- (5) Any critical element rated Level 1 = Level 1

Note: Examples of derivation formula with additional information are included in the NASA Performance Management Manual for Senior Executives.

3.5.3 The Rating Official shall develop an Initial Summary Rating, in writing, and share with the senior executive. At that time, the rating official will communicate to the executive that the rating is not final until approved by the Administrator or designee.

3.5.4 When an executive has worked across organizational lines or on programs that interface with more than one Center Director or Associate/Assistant Administrator, EPMs will consult with other managers who are knowledgeable of the executive's performance and consider their input when recommending an Initial Summary Rating.

3.5.5 Center Directors shall review and evaluate executives who lead Center functional offices with input from the counterpart Mission Support Associate Administrator.

3.5.6 The Mission Support Associate Administrator shall provide a written evaluation of the principal Center functional lead, which addresses the elements of the performance plan.

3.5.7 The Chief, Safety and Mission Assurance (S&MA) shall provide a written evaluation of the S&MA functional leaders at the Centers and the S&MA managers, which addresses the elements of the performance plan.

3.5.8 The appropriate Mission Director, with input by the Center Director, shall provide a written evaluation of the program managers for major programs/projects such as International Space Station, Orion Multi-Purpose Crew Vehicle, Space Launch System, James Webb Space Telescope, and Technology.

3.5.9 The Chief Financial Officer (CFO) and Chief Information Officer (CIO), respectively, with input by the Center Director, shall rate Center CFOs and Center CIOs.

3.5.10. Rating Officials shall ensure that all evaluations are attached to the individual's Initial Summary Rating, and remain a part of the Annual Summary Rating.

3.5.11 Opportunity for a Written Response

3.5.11.1 A senior executive may respond in writing to the Initial Summary Rating within ten calendar days of receipt.

3.5.12 Opportunity for a Higher Level Review

3.5.12.1 The senior executive is entitled to request a review of their Initial Summary Rating by a higher level official before that rating is presented to the PRB.

3.5.12.2 Within ten calendar days of receipt of the Initial Summary Rating assigned by the Rating Official, a senior executive may request a higher level review and/or written justification.

3.5.12.3 The higher level reviewer may not change the initial rating but may recommend a different rating to the PRB and the appointing authority.

3.5.13 A forced distribution of rating levels is prohibited.

3.5.14 When a senior executive, who has completed the minimum appraisal period, changes jobs or transfers to another agency, the Rating Official shall appraise the executive's performance in writing before the executive leaves and the appraisal will be forwarded to the gaining agency.

3.5.15 When developing an Initial Summary Rating for an executive who transfers from another agency, a Rating Official shall consider any applicable ratings and appraisals of the executive's performance received from the former agency.

3.5.16 If the Rating Official cannot prepare an executive's rating at the end of the rating period because the executive has not completed the minimum appraisal period or for other reasons, the Rating Official shall extend the executive's rating period and will then prepare the Annual Summary Rating.

3.5.16.1 When an Annual Summary Rating cannot be prepared as of September 30 because the senior executive has not served under a performance plan for the minimum appraisal period (90 days), the Rating Official shall

extend the executive's appraisal period to September 30 of the following year.

3.5.16.2 Although the Rating Official may determine a Summary Rating any time after the executive has served 90 days under a performance plan, no performance-based pay adjustments or other personnel actions may be effected based on this rating unless approved by the Administrator or designee.

3.5.17 The Administrator shall assign Annual Summary Ratings (this may not be delegated to an official who does not have authority to make SES appointments) only after considering the recommendations of the PRB.

3.6 Performance Review Boards

3.6.1 The Administrator, or designee, shall establish one or more PRBs.

3.6.2 Each PRB shall select three or more members in a manner that ensures consistency, stability, and objectivity in SES performance appraisal. PRB appointments will be published in the Federal Register before service begins.

3.6.3 More than one-half of the PRB(s) members will be career appointees when considering a career appointee's appraisal or performance award. PRB(s) members may not participate in deliberations involving their own appraisals.

3.6.4 The PRB(s) will not be provided a proposed Initial Summary Rating to which the executive has not been given the opportunity to respond in writing.

3.6.5 The PRB(s) are provided and take into account appropriate assessments of the Agency's/ organization's performance when making recommendations.

3.7 Preparing for the Next Appraisal Period

3.7.1 During the appraisal discussion, the Rating Official and senior executive shall begin performance planning for the next appraisal period. Normally, a written performance plan will be provided to the executive within 30 days after the beginning of the new appraisal period.

3.7.2 If input is required during the rating process in which a NASA career senior executive accepts a Presidential appointment, the same officials will be consulted when establishing performance objectives and requirements.

Chapter 4: Performance, Training, and Other System Requirements

4.1 Dealing with Poor Performance

4.1.1 The delegated official shall:

- a. Reassign, transfer, or remove from the SES a senior executive who has been assigned a Level 1 (Unsatisfactory) final rating.
- b. Remove from the SES an executive who has been assigned two final ratings at less than Level 3 (i.e., Level 2 or a combination of Levels 2 and 1) within a 3-year period.
- c. Remove from the SES an executive who receives two Level 1 (Unsatisfactory) final ratings within five years.
 - (1) Non-probationary career appointees are removed under procedures in 5 CFR 359 subpart E.
 - (2) Probationary career appointees are removed under procedures in 5 CFR 359 subpart D.

Note: Nothing here will be interpreted to limit removal of probationary SES employees as permitted by current regulations.

(a) Guaranteed placement in a non-SES position will be provided under 5 CFR 359 subpart G, when applicable.

4.1.2 A senior executive with an Annual Summary Rating of less than Successful may be considered for a reduction in pay.

4.1.3 A senior executive who is removed from the SES for performance and who is eligible under 5 CFR 359 is entitled to placement in a position at General Schedule 15 (GS-15) or above (or an equivalent position).

a. An otherwise eligible senior executive removed from the SES for performance may elect discontinued service retirement rather than fall back to a GS-15 position.

4.1.4 Senior executive performance appraisals and ratings may not be appealed to the Merit System Protection Board (MSPB) or grieved under the NPR 3771.1. The executive may file a complaint about any aspect of the rating process the executive believes to involve unlawful discrimination (United States Equal Employment Opportunity Commission) or a prohibited personnel practice (Office of Special Counsel).

4.1.5 A career appointee being removed from the SES under 5 U.S.C. 3592(a)(2) shall, at least 15 days preceding the date of removal, be entitled, upon request, to an informal hearing before an official designated by the MSPB.

4.2 Training and Evaluation

4.2.1 The delegated official shall provide information and training for executives on the requirements and operation of the Agency's performance management and pay-for-performance system, including the results of the previous appraisal period.

4.2.2 The delegated official shall periodically evaluate the effectiveness of the Performance Management System and implement improvements as needed.

4.3 Other System Requirements

4.3.1 Delegated officials shall use the results of performance appraisals for adjusting pay, granting awards, determining training needs, and making other personnel decisions.

4.3.2 A senior executive with an Annual Summary Rating of Level 3 (Successful) or above is eligible to be considered for an SES performance award (bonus), an increase in pay, a Presidential Rank Award (after a minimum of three years of eligible service), and nonmonetary recognition.

a. Noncareer SES are not eligible for bonuses or rank awards.

4.4 Organizational Assessment and Guidelines

4.4.1 The delegated official shall assess organizational performance (overall and with respect to each of its particular missions, components, programs, policy areas, and support functions).

4.4.2 The delegated official shall ensure its assessment results and evaluation guidelines are communicated by the Administrator or designee to senior employees, Rating Officials, higher level review officials, and PRB members so that they may be considered in preparing performance appraisals, ratings, and recommendations.

4.4.3 Oversight

4.4.3.1 The Administrator, or designee, shall provide organizational assessments and evaluation guidelines and is responsible to oversee the system and certify that:

- a. The appraisal process makes meaningful distinctions based on relative performance.
- b. Executive ratings take into account assessments of organizational performance.
- c. Pay adjustments, awards, and pay levels accurately reflect individual and organizational performance.

Note: The responsible official designated to provide evaluation guidelines and oversee the appraisal system shall do so for the Agency.

4.4.4 Performance Distinctions

4.4.4.1 Rating Officials and PRB members shall make meaningful distinctions based on relative performance that take into account assessment of the Agency's performance against relevant program performance measures.

4.4.5 Differences in Pay Based on Performance

4.4.5.1 Senior executives who have demonstrated the highest levels of performance will receive the highest Annual Summary Ratings; the largest corresponding pay adjustments, cash awards, and levels of pay; and will be appropriately positioned in the pay range.

Chapter 5: Documentation of Performance-Related Records

5.1 Records Retention

5.1.1 In accordance with the responsibility and requirements as determined by the AA, HCM, all performance-related records for a senior executive shall be maintained in an Employee Performance File for no less than five years from the date the final Annual Summary Rating is issued and be available to:

- a. Agency officials having a need for the information.
- b. The senior executive.
- c. The OPM in connection with its personnel management evaluation role.

5.2 Records Provided to Executives

5.2.1 The Rating Official shall provide the senior executive the following documents at the time they are prepared:

- a. The performance plan.
- b. The Initial Summary Rating, including the overall performance assessment narrative for the appraisal period and the performance plan that identifies the performance element ratings upon which the Initial Summary Rating was based.
- c. Written notification of the right to request a higher level review.
- d. Any written comments and/or recommendations for a different rating by a higher level reviewing official.
- e. A copy of the final Annual Summary Rating.

5.3 Required Records

5.3.1 Performance-related records will, at a minimum, include:

- a. The Annual Summary Rating, including the overall performance assessment narrative and any additional required assessments for the appraisal period, and the performance plan on which the assessment is based.
- b. Any written comments and/or recommendations for a different rating by a higher level reviewing official.
- c. The written recommendation for the Annual Summary Rating from the PRB.
- d. When applicable, any Summary Rating from the Rating Official of a position to which the senior executive was detailed, previously assigned, or from which transferred.
- e. Other personnel decisions (e.g., removal from the SES), including supporting documentation, based on performance.

5.4. Transfer of Records

5.4.1 When a senior executive moves to another SES position, either within NASA or with another agency, all appropriate performance-related records five years old or less will be forwarded in the Employee Performance File along with the executive's Official Personnel Folder.

5.4.2 When a NASA career senior executive accepts a Presidential appointment [5 U.S.C. Section 3392(c)], the Employee Performance File will be forwarded to and maintained by the gaining organization throughout the length of the appointment.

Appendix A. Definitions

Annual Summary Rating. The overall rating level that the Administrator or designee assigns at the end of the appraisal period after considering the PRB recommendation. This is the official/final rating.

Appointing Authority. The Administrator or designee with authority to make appointments in the SES.

Appraisal Period. The established period of time for which a senior executive's performance will be appraised and rated.

Critical Element. A key component of executive's work that contributes to organizational goals and results and is so important that unsatisfactory performance of the element would make the overall job performance unsatisfactory.

Distinguished Performance. The performance that substantially exceeds the normally high performance expected of any senior executive as evidenced by exceptional accomplishments or contributions to the Agency's performance.

Executive Position Managers. Officials-in-Charge, Headquarters Offices and Center Directors.

Initial Summary Rating. An overall rating level the Rating Official derives from appraising the senior executive's performance during the appraisal period and forwards to the PRB.

Minimum Appraisal Period. The minimum amount of time that a senior executive is under a performance plan before a rating may be assigned. This period is 90 days.

Outstanding Performance. The performance that substantially exceeds the normally high performance expected of any senior executive, as evidenced by exceptional accomplishments or contributions to the Agency's performance.

Performance. The accomplishment of the work described in the senior executive's performance plan.

Performance Appraisal. The review and evaluation of a senior executive's performance against performance elements and requirements.

Performance Management System. The framework of policies and practices that an Agency establishes under 5 U.S.C., Chapter 43, Subchapter II, for planning, monitoring, developing, evaluating, and rewarding both individual and organizational performance and for using resulting performance information in making personnel decisions.

Performance Requirement. A statement of the performance expected for a critical element.

Performance Review Board (PRB). A board required by law to make recommendations to the Administrator or designee on the performance of senior executives. The SEC serves as the PRB for PRB members and other executives reporting to the Administrator, including Center Directors and executives assigned to the Office of the Administrator.

Progress Review. A review of the senior executive's progress in meeting the performance requirements. A progress review is not a performance rating.

Senior Executive Committee. Serves as the PRB for executive reporting to the Administrator, Deputy Administrator, and PRB members. Recommends to the Administrator final performance ratings, awards, and salary adjustments for NASA executives.

Senior Executive Performance Plan. The written summary of work the senior executive is expected to accomplish during the appraisal period and the requirements against which performance will be evaluated. The plan addresses all critical elements established for the senior executive.

Strategic Planning Initiatives. Agency strategic plans, annual performance plans, organizational work plans, and other related initiatives.

Appendix B. Acronyms

AA, HCM	Assistant Administrator, Human Capital Management
CFO	Chief Financial Officer
CFR	Code of Federal Regulations
CIO	Chief Information Officer
EPM	Executive Position Manager
GS	General Schedule
NC	NASA Charter
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
OPM	Office of Personnel Management
PRB	Performance Review Board
SEC	Senior Executive Committee
SES	Senior Executive Service
S&MA	Safety and Mission Assurance
U.S.C.	United States Code